DOCUMENT RESUME

ED 277 405 IR 051 749

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TITLE University Library Online Reference Service Program Plan, 1986/87.
PUB DATE Nov 86
NOTE 15p.
PUB TYPE Reports - Descriptive (141)

EDRS PRICE MF01/PC01 Plus Postage.
DESCRIPTORS *Academic Libraries; Eligibility; Fees; Financial Support; Higher Education; Library Administration; *Library Planning; *Online Searching; *Policy; Position Papers; Program Descriptions; *Reference Services; Selective Dissemination of Information
IDENTIFIERS *California State Polytechnic University Pomona

ABSTRACT

This program plan for online reference service--the individualized assistance provided to a library patron using an online system--at California State Polytechnic University, Pomona, covers the areas of funding, eligibility for online services, search request eligibility, database eligibility, management of online services, reference faculty responsibilities, and paraprofessional responsibilities. In addition, the following information is provided in nine appendices: (1) Current Operating Practices; (2) Special Services and Prices; (3) Online Ready Reference Policy; (4) List of Subject Specializations; (5) Procedure for Research Office/Office of Development Chargebacks; (6) Procedure for Charging Fees; (7) Procedure for Automatic Updating Service (SDI); (8) List of Contracted Vendors and Account Numbers Listed by Encumbrance Lines; and (9) Orientation Outline for New Reference Desk Staff. (KM)

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CALIFORNINA STATE POLYTECHINC UNIVERSITY, POMONA

UNIVERSITY LIBRARY ONLINE REFERENCE SERVICE PROGRAM PLAN 1986/1987

NOVEMBER 1986

This program plan is to be revised by the Manager of Online Reference and approved by the Reference Department faculty at least every 2 years.

Introduction

Online Reference Service is the individualized assistance provided to a library patron using an online system. The word "online" denotes the use of a remote computer system or database accessed in a dial-up mode. Online Reference Service and its component services are to be considered an integral part of the library's reference service.

Document delivery in an online mode is to be handled according to policies governing Interlibrary Loan/Document Delivery and is not governed by the policies set forth in this document. Any bibliographic instruction involving online searching should be developed in conjunction with the Coordinator for Bibliographic Instruction.

The service is meant to support the University's academic and administrative programs as well as the academic needs of persons enrolled in the University.

Funding

State and CSU policies assume that persons receiving online services will pay for at least part of the service. Our library intends to offer free of charge to University faculty, staff, and students online services in which the library exerts direct control over the amount of funds spent.

The library may allocate funds for free service among its potential groups of users on a first come, first served basis. Direct costs for searches requested after Library-allocated funds have been expended will be charged back to the requestor.

The service is limited to contracted vendors, although experimental use of specialized vendors may be performed from time to time. The library will select vendors for contracts that best fulfill the general information needs of the University.

Eligibility

The following categories of library users are eligible for online services:

IR051749

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Office of Educational Research and Improvement
EDUCATIONAL RESOURCES INFORMATION CENTER (ERIC)

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Eligibility (Continued)

A. Cal Poly Pomona faculty and staff.

B. Cal Poly Pomona students who meet the following criteria:

1. Currently enrolled students:

a. Enrolled in regular sessions.
b. Extension students.
c. Continuing education students.

2. Students not currently enrolled, but needing the service for completion of theses, Master's Projects and Senior Projects.

C. California State University External Degree Program students.

D. The general public when being served according to Online Ready Reference policy.

E. The general public, businesses, agencies, etc. are eligible for online services, but are charged according to a fee schedule. University Corporate Associates are eligible to receive services on a deposit account basis or a fee service basis.

Questions regarding eligibility to receive service will be referred to the Manager, and then to the Head, Reference Department, in that order.

Search Request Eligibility

The judgement of the Reference faculty member in each situation shall be the critical factor in determining whether or not a particular search request shall be accepted.

It should be recognized that the desire to provide service must be balanced with budgetary considerations, the instructional nature of the information seeking activity, and other priorities within the Reference Department.

Requests for free service other than Online Ready Reference must be related to the basic instructional, research, or administrative needs of Cal Poly Pomona.

The willingness to pay for service does not automatically assure that a request will be accepted.

Questions regarding eligibility of subject requests will be referred to the Manager, and then to the Head, Reference Department, in that order.

Database Eligibility

Reference faculty are free to access any of the databases or files provided by ordinary access via existing passwords and/or accounts according to their best judgement. This includes any service that can be accessed by a gateway as part of normal business by existing accounts and/or passwords. Online ordering, a document delivery function, is not included in Online Reference and is not part of Online Reference Service.

Management

The service shall be managed by a full-time faculty member of the Reference Department. The Manager of Online Reference Service has the following general responsibilities:

A. Planning of new services and planning for modifications to the service; conducting research and development leading to the implementation of changes and modifications.

B. Organizing programs and practices relating to the service. This includes maintaining contact with online services, user groups, vendors, and suppliers, designing record keeping systems, and organizing update sessions for librarians.

C. Coordinating the activities involved in the service and providing for a central point of information about the service; acting as a resource person for the Reference Department and other areas of the library.

D. Providing direction in growth and acceptance of new technologies appropriate to the service and to the library in service related areas.

E. Supervising support staff in various administrative and support functions.

F. Analyzing and reporting data and activities relating to the service to the Head, Reference Department. Recommending improvements to service.

G. Analyzing, allocating, reporting, and proposing budgets.

H. Providing information about Reference faculty regarding online activities to the Department Head for personnel evaluation purposes.

Management (Continued)

Additional specific tasks include:

Chairing periodic meetings of the personnel involved in online searching.

Providing minutes of the aforementioned meetings.

Providing an annual statistical and financial report of the service, including an annual estimate of costs for the coming fiscal year.

Providing the library administration with periodic estimates of the division of funds among vendors.

Providing an average of 4 hours per week of Reference Desk duty.

Reference Faculty Responsibilities

Reference faculty involved in the service are expected to continuously maintain and upgrade search skills by attending workshops, reading appropriate journals, and attempting and practicing new skills and tools.

Reference faculty are expected to share skills and knowledge in order to enrich the department's overall competency.

Reference faculty are expected to regard online searching as a high priority in their reference responsibilities.

Paraprofessional Responsibilities

Paraprofessionals are expected to engage in online searching to the extent suitable for their main assignment. Specialized searching activity may be involved if the department's needs are best met with paraprofessional involvement.

APPENDIX A: CURRENT OPERATING PRACTICES

Logistics

(1) Appointments for online searches are recommended. Due to the department's emphasis on an integrated approach to reference assistance, appointments are not made specifically for the purpose of interviewing for or performing a computer search. Instead, appointments are made for specialized assistance with difficult subject needs. The Reference Department Secretary (RDS) is the central booking point for appointments, and students needing special assistance from a Reference faculty are to be directed to the secretary for this purpose.

(2) Telephone requests are usually not accepted; this may be done only in cases where a faculty member has an immediate need.

(3) Unclaimed searches are mailed to the patron at the end of each quarter by the RDS. If the search file becomes crowded with these searches, the RDS will remove the older searches in mid-quarter to be mailed later.

Interviewing

(4) Patrons should be advised of the format of the search product and how to find the items listed.

(5) Find out if the patron would like the results of the search on disk. Downloading from any of the contracted vendors is allowed as long it is not done with the intent to deprive vendors of additional search revenue. Persons interested in having output on disk must bring in their own blank, formatted IBM-PC compatible disks.

(6) Determine the patron's time constraints for the needed information. Turn around time (the time between the interview and the receipt of the output by the patron) should be kept to a minimum. For this reason, having the paton present during the search and having the output printed online rather than offline is encouraged.

(7) Long printouts from downloaded searches can be done by the Reference Department Secretary.

Search Mechanics

(8) Statistics will be reported using standard online industry definitions: 1 subject request=1 search (regardless of how many databases and/or systems are accessed).

(9) Both online printing and offline printing of material may be performed; the final decision is up to the Reference faculty.

APPENDIX A: CURRENT OPERATING PRACTICES (Continued)

(10) Full-text retrieval of documents normally purchased by the library is discouraged. Known item retrieval (print out or downloading) of documents is an Interlibrary Loan/Document Delivery function and will be handled by that unit.

(11) Retrieval of abstracts that the library has already purchased in hard copy and that are easy to look up from the bibliographic information on the search is discouraged; the final decision is up to the Reference faculty.

Funds

(12) Standard practice is for the actual handling of money (when charging for service) to be handled in other departments (Circulation or the Library Office.) Fee calculations are handled by the Reference Department and proof of payment is required before the release of material.

(13) If the service runs over budget before the end of the fiscal year, charging will be instituted for all services except for SDI profiles. Cal Poly faculty, staff and students will be charged the wholesale cost of the service. Wholesale costs are list prices exclusive of any additional discounts garnered during the billing cycle(s).

(14) Faculty seeking sources of funding for research are eligible to have searches paid for by the Research Office. Faculty seeking sources of funding for capital projects are eligible to have searches paid for by the Office of Development. Encourage such faculty to visit the Research Office or the Office of Development for an approval form before starting searches. Search costs will then be charged back to the Research Office or the Office of Development.

APPENDIX B: SPECIAL SERVICES AND PRICES NOVEMBER 1986

SDI Service

Cal Poly faculty and administration with continuing research needs in a particular subject are eligible for the "Automatic Updating Service" at a cost of $5 per SDI profile per year.

Searches for the General Public

The general public, along with businesses, agencies, etc. not affiliated with Cal Poly are eligible for online searches if their needs can be accommodated within the normal work load of the department and if the subject request is judged suitable for an online search. Costs are wholesale costs plus $30 per hour librarian time, with a one half hour ($15) minimum per request.

University Corporate Associates

The University Corporate Associates have online search privileges as part of their membership. Costs (wholesale costs plus $30 per hour librarian time with a one half hour ($15) minimum per request) are charged against a set dollar amount allotment per membership.

ORION

Faculty members who wish to search the ORION database from their own terminals can request a password from the library after receiving training from the library. Faculty will then have to pay direct wholesale costs incurred by their password. The library serves as a collection agent for ORION.

End User Searching

The library provides access to certain databases on a self-service basis in Room 218, the Online Search Center. Only Cal Poly faculty, staff and students are allowed to use this service. The service is currently free of charge.

End user searching is in a developmental state and not yet integrated into Reference Services.

APPENDIX C: ONLINE READY REFERENCE POLICY NOVEMBER 1986

Reference Desk staff may perform a computer search at the Reference Desk with the following approximate limits: no more than five dollars spent, and no more than five minutes spent online.

Search request eligibility is determined solely by the judgement of the staff member. Searches are initiated by the staff member, not by request of the patron.

Status of the requestor (as in the case of the general public) shall be disregarded for Ready Reference. Ready Reference searches are free of charge to the requestor.

Patrons are not allowed to operate the Ready Reference terminal.

APPENDIX D: LIST OF SUBJECT SPECIALIZATIONS NOVEMBER 1986

Business	Smith, Dunn
Education*	Mossuto, Dunn
Social Sciences	Harvey
Humanities	Harvey, Mossuto, Dunn
Life Sciences*	Koga
Agriculture	Koga
Physical Sciences*	Koga
Engineering*	Koga
Physical Education	Roeder
Environmental Design	Smith
Ready Reference	Seraphin Daugherty

*New Reference Librarians to assume primary responsibility for these areas.

APPENDIX E: PROCEDURE FOR RESEARCH OFFICE/OFFICE OF DEVELOPMENT CHARGEBACKS NOVEMBER 1986

A. RESEARCH

1. Faculty seeking sources of funding for research should be directed to the Research Office for general assistance and for authorization for chargeback to the Research Office.

2. Faculty with authorization form in hand should be directed to the Reference Department Secretary for an appointment. Authorization form should be attached to the Research Assistance and Advisory Appointment Form.

3. Perform search as usual. Calculate costs from print-out. Fill in amount of search on Authorization form.

4. Give Authorization form with total amount to Manager of Online Reference. (Use mail box)

5. Manager of Online Reference will bill the Research Office annually.

B. OFFICE OF DEVELOPMENT

1. Faculty seeking funding for capital projects should be directed to the Office of Development.

2. Faculty or Office of Development Personnel with authorization form in hand should be directed to the Reference Department Secretary for an appointment. Authorization form should be attached to the Research Assistance and Advisory Appointment Form.

3. Perform search as usual. Calculate costs from print-out. Fill in amount of search on Authorization form.

4. Give Authorization form with total amount to Manager of Online Reference. (Use mail box)

5. Manager of Online Reference will bill the Office of Development annually.

APPENDIX F: PROCEDURE FOR CHARGING FEES NOVEMBER 1986

1. Client inquires, by phone or in person. Client is referred to RDS (Reference Department Secretary) or Online Manager for more information and/or appointment.

RDS

2. Client will be directed to contact RDS for appointment. RDS screens client for eligibility for fee service.

3. RDS schedules appointment with appropriate RF (Reference faculty). Appointment should be made for at least one full hour. RDS fills out top part of Research Assistance Advisory form and attaches form F-919-00. Puts forms in mailbox of RF.

REFERENCE FACULTY

4. RF interviews client. RF keeps track of time. RF fills out a narrative statement of client's needs. RF completes top part of form F-919-00 and has client sign.

5. RF performs search. Calculates fees on F-919-00. Uses online cost statement produced by search. (If cut off, estimates). Rate is wholesale cost plus $30 per hour RF time, with a one half hour minimum ($15) for each request.

6. RF sends client to Circulation Desk to pay fees. RF instructs client to return with F-919-00 marked paid to the RDS. [It is important to channel the handling of paperwork through the RDS to avoid confusion with our regular search results, which we hand out free.]

7. RF gives the remaining paperwork (forms, search results) to the RDS.

RDS

8. Client returns to RDS with invoice marked paid by Circulation Desk.

9. RDS gives client search results. In the case of offline prints, patron can pay before prints arrive and RDS will mail them to client.

10. RDS puts remaining paperwork in Manager's mailbox.

APPENDIX G: PROCEDURE FOR AUTOMATIC UPDATING SERVICE (SDI) NOVEMBER 1986

I. REFERENCE FACULTY PROCEDURE

1. Only Cal Poly Faculty or Administration are eligible for the service.

2. Interview patron. Determine subject needs and search terms. Select database with SDI capability. (Use only Dialog). Perform mini-search or full search on subject to determine if terms are correct.

3. Calculate the fee for one year's worth of SDI; Fee is $5 per profile entered for one year. Use Invoice form (See Reference Department Secretary (RDS) for forms).

4. Determine payment method:

A. If cash or check, send patron to Library Office with filled out invoice form.

B. If chargeback, send invoice form back with patron to department for chargeback authorization.

In both cases, the patron should be instructed to get the completed form back to you, whether in person or by campus mail.

5. Send completed chargebacks to Manager.

6. When proof of payment is received, execute the SDI. Follow directions in the Dialog Tech Note on SDI. In addition, label the SDI as in the following example:

SS JOHN PATRON BIO SCI DEPT [GIVE PATRON NAME AND CAMPUS ADDRESS]
SS EXPIRES JAN 27 [GIVE MONTH AND DATE SDI IS ENTERED]

This gives a name and address on the cover sheet that comes with each print-out. The date will enable us to tell at a glance when to notify the patron to renew his SDI. Continue with the strategy of the SDI.

7. Give a print-out of the session used to set up the SDI, along with the Invoice form, to the Manager. The RDS will set up a file with a check in sheet for each SDI profile.

8. RDS will receive the SDI prints, check them in, and send them to the patron.

II. PROCEDURE FOR THE REFERENCE DEPARTMENT SECRETARY (RDS)

The Manager will give RDS a packet of documents; on the top will be the check in record form. All of the blanks except for the check in record should be filled in. Follow the directions on the form for check in. Inform the Manager if there are missing updates. Inform the Manager a month before expiration so that a renewal notice can be sent.

APPENDIX H: LIST OF CONTRACTED VENDORS AND ACCOUNT NUMBERS
LISTED BY ENCUMBRANCE LINES NOVEMBER 1986

I. Online Reference Service:

Amigos:

Dialog	005170 (General Online Reference) 058615 (Ready Reference) 052814 (Koga only)
BRS/SEARCH	AMIG4T (Gen Ref w/RR Subaccount)
BRS/After Dark	300990
Wilsonline	107270000A/CSP01 (General Online Ref) 107270000A/CSP02 (Ready Reference)
Dialog	037637 (Classroom Instruction)
ORION	260043
OCLC	CSUC-CPO

II. Online Search Center:

BRS/After Dark	3A0531 3A0532 3A0533
BRS/Saunders	4MM600
Wilsearch	WAA14 WAA15 WAA16
Search Helper	1000053503/26547 1000053503/26550
ORION	260043
OCLC	CSUC-CPO

APPENDIX I: ORIENTATION OUTLINE FOR NEW REFERENCE DESK STAFF NOV 1986

1. Newcomer will read current Program Plan and latest Annual Report.
2. Bonnie Seraphin will go over:
    a. How to access and search CLSI (Library Inquiry System).
    b. How to access and search Innovacq.
    c. Documentation at the Reference Desk.
    d. How to use RR terminal and printer.
    e. RR policy and recordkeeping.
    f. Search delivery procedures.
    g. Procedures/eligibility for "Specialized Assistance"
    h. Documentation/recordkeeping for online searching.
    i. Use of shared IBM PC/how to use searching software.
3. Kris Thomas will cover:
    a. Products offered for end user searching.
    b. General procedures, policies, hours open, etc.
4. James Koga will cover:
    a. General overview of online searching at Cal Poly.
    b. Integration aspects of various kinds of searching.
    c. Management/evaluation structure; meetings, channels of communication, etc.
    d. Downloading lesson.
    e. Questions.